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09/653,610	08/31/2000	Thomas E. Saulpaugh	5181-70500	4144

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EXAMINER

NGUYEN, QUANG N

ART UNIT PAPER NUMBER

2141

DATE MAILED: 10/27/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Advisory Action

Application No.

09/653,610

Applicant(s)

SAULPAUGH ET AL.

Examiner

Quang N. Nguyen

Art Unit

2141

--The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

THE REPLY FILED 15 October 2004 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE. Therefore, further action by the applicant is required to avoid abandonment of this application. A proper reply to a final rejection under 37 CFR 1.113 may only be either: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114.

PERIOD FOR REPLY [check either a) or b)]

- a) ☐ The period for reply expires _____ months from the mailing date of the final rejection.
- b) ☒ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection. ONLY CHECK THIS BOX WHEN THE FIRST REPLY WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. See MPEP 706.07(f).

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

1. ☐ A Notice of Appeal was filed on _____. Appellant's Brief must be filed within the period set forth in 37 CFR 1.192(a), or any extension thereof (37 CFR 1.191(d)), to avoid dismissal of the appeal.
2. ☐ The proposed amendment(s) will not be entered because:
- (a) ☐ they raise new issues that would require further consideration and/or search (see NOTE below);
 - (b) ☐ they raise the issue of new matter (see Note below);
 - (c) ☐ they are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or
 - (d) ☐ they present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: _____

3. ☒ Applicant's reply has overcome the following rejection(s): 6-12, 23-29 and 40-46.
4. ☐ Newly proposed or amended claim(s) _____ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).
5. ☐ The a) ☐ affidavit, b) ☐ exhibit, or c) ☐ request for reconsideration has been considered but does NOT place the application in condition for allowance because: _____.
6. ☐ The affidavit or exhibit will NOT be considered because it is not directed SOLELY to issues which were newly raised by the Examiner in the final rejection.
7. ☒ For purposes of Appeal, the proposed amendment(s) a) ☐ will not be entered or b) ☒ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.

The status of the claim(s) is (or will be) as follows:

Claim(s) allowed: None.Claim(s) objected to: 6-12, 23-29 and 40-46.Claim(s) rejected: 1-5, 13-22, 30-39 and 47-51.Claim(s) withdrawn from consideration: None.

8. ☐ The drawing correction filed on _____ is a) ☐ approved or b) ☐ disapproved by the Examiner.
9. ☒ Note the attached Information Disclosure Statement(s) (PTO-1449) Paper No(s). 20041015.
10. ☐ Other: _____

LE HIEN LUU
PRIMARY EXAMINER

Detail Action

1. This Office Action is in communication to the Response to Final Action filed on 10/15/2004. Claims 1-51 are presented for examination.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

3. **Claims 1, 18 and 35 is rejected under 35 U.S.C. 102(e) as being anticipated by He et al. (US 6,088,451), herein after referred as He.**

4. As to claim 1, He teaches a method for accessing a service in a distributed computing environment, comprising:

a client receiving a capability credential (*i.e., a list of user credentials retrieved from the registration database, enclosed in a credential ticket and sent back to the user in a response message*), wherein said capability credential indicates that the client is allowed to access a portion of a first service's capabilities (He, C18:L34 - C19:L8);

using a capability credential to request an access interface document to access a service (*i.e., the client using the received credential ticket containing a list of user credentials issued by the credential server 204 to request a document or a GUI (or a web page) with the pull-down menus, via the access server 206 and the security server 208, in order to access the available services/network elements according to his capability credential*) (He, C20:L14 - C21:L22 and C26: L58-65)

the client receiving said access interface document, wherein said access interface document comprises an interface for accessing only said portion of the first service's capabilities (*i.e., once in authorization is OK, the user is permitted to access the document/GUI with the pull-down menus to access not all but only the available services/network elements according to his capability credential*); and

the client using the interface from said access interface document to access a capability from said portion of the first service's capabilities (*i.e., the user can make an access request by selecting/clicking on one of the available services/network elements listed by the pull-down menus*) (He, C26: L58-65).

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5. Claim 18 is a corresponding client device claim of method claim 1; therefore, it is rejected under the same rationale.

6. Claim 35 is a corresponding carrier medium claim of method claim 1; therefore, it is rejected under the same rationale.

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. **Claims 2-5, 13-17, 19-22, 30-34, 36-39 and 47-51 are rejected under 35 U.S.C. 103(a) as being unpatentable over He, in view of Pulliam et al. (US 6,609,108), herein after referred as Pulliam.**

9. As to claim 2, He teaches using said capability credential to request an access interface document as in claim 1, but does not explicitly teach sending an advertisement request message in a data representation, wherein said advertisement request message includes said capability credential.

In the related art, Pulliam teaches an online shopping communication schema for communicating online orders, wherein a message client 924 (Fig. 10) is a multi-threaded HTTP process that provides the required functions to receive the XML formatted document (*i.e., a document/GUI with the pull-down lists of makes and models as an access interface document to access to those makes and models*), then generates and sends XML messages (*i.e., generates and send messages to request information about some particular makes and models, i.e., advertisement request messages*) and application credentials to and from the locate server; and the listener 902 of the server 821 (Fig. 9) accepts messages and provides support for authenticating whom the request is from using private key infrastructure (PKI) encrypted user credentials to allow or deny access to specific functions and data sets supported by the server based on the requestor's identity/credentials (Pulliam, C14: L34-45 and C15: L38-42).

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to combine the teachings of He and Pulliam to request an access interface document by sending an advertisement request message in a data representation, wherein said advertisement request message includes said capability credential since such methods were conventionally employed in the art to submit request messages along with attached client/user's credentials to the security system for authentication requirement to obtain access to protected information and service.

10. As to claim 3, He-Pulliam teaches the method of claim 2, wherein said data representation language is eXtensible Markup Language (XML) (Pulliam, C16: L40-50).

11. As to claim 4, He-Pulliam teaches the method of claim 2, further comprising in response to receiving said advertisement request message, generating and sending an advertisement request response which includes a custom advertisement according to said portion of the first service's capabilities that the client is allowed to access (*i.e., in response to the client request, based on the ID, authorization, capability credential of the client, the server generates pull-down menus to identify those capabilities to which the client is allowed/authorized to access*) (He, C26: L58-65 and Pulliam, C13: L34-40).

12. As to claim 5, He-Pulliam teaches the method of claim 4, wherein said custom advertisement specifies an XML schema defining messages to be sent to and from the first service (*i.e., the network element/sever*) (Pulliam, C15: L39-43 and C16: L40-50).

13. As to claim 13, He-Pulliam teaches the method of claim 1, wherein said access interface document comprises a schema (*i.e., XML schema*) defining messages for accessing said portion of the first service's capabilities, wherein said using the interface from said access interface document to access a capability (*i.e., using the pull down list to access available information/services*) comprises sending a message according to said schema to the first service (Pulliam, C16: L40-50).

14. As to claim 14, He-Pulliam teaches the method of claim 13, wherein said message includes said capability credential (*i.e., the list of user credentials contained in the credential ticket*), the method further comprising the first service (*i.e., the network element access server 206*) using said capability credential to authenticate said message as from the client (He, C20: L28-67 and C21: L1-13).

15. As to claim 15, He-Pulliam teaches the method of claim 1, wherein said access interface document comprises a schema (*i.e., XML schema*) defining messages for accessing said portion of the first service's capabilities, wherein the client using said access interface document to construct a message gate for sending messages to the first service (*i.e., a message client 924 provides the required functions to receive the XML formatted document, then generates and sends XML messages and application credentials to and from the server*), wherein the message gate embeds said capability credential in each message (Pulliam, C15: L38-43).

16. As to claims 16-17, He-Pulliam teaches the method of claim 15, wherein the message gate checks each message for compliance with said message schema, *i.e., an XML schema* (He, C16: L40-50).

17. Claims 19-22 and 30-34 are corresponding client device claims of method claims 2-5 and 13-17; therefore, they are rejected under the same rationale.

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18. Claims 36-39 and 47-51 are corresponding carrier medium claims for method claims 2-5 and 13-17; therefore, they are rejected under the same rationale.

Allowable Subject Matter

19. Claims 6-12, 23-29 and 40-46 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Response to Arguments

20. In the remarks, applicant argued in substance that

(A) Prior Art fails to teach “a client using a capability credential to request an access interface document to access a service, receiving the access interface document, wherein the access interface document comprises an interface for accessing only a portion of the service’s capabilities, and the client using the interface from the access interface document to access a capability from the portion of the service’s capabilities”, as claimed in claim 1.

As to point (A), before addressing the argument, the examiner submits that the language of the limitation cited in the quotation *"an access interface document to access a service"* can be given a broad and reasonable interpretation in light of specification as *"a document or a web page with a graphical user interface (GUI) such as a pull-down menus listing available services to which the client is allowed/authorized to access"*. In his reference (US 6,088,451), **He** teaches a method for accessing a service in a distributed computing environment, wherein the client using the received credential ticket containing a list of user credentials issued by the credential server 204 to request a document or a GUI (or a web page) with the pull-down menus, via the access server 206 and the security server 208, in order to access the available services/network elements according to his capability credential (*i.e., using a capability credential to request an access interface document to access a service*) (**He**, C20:L14 - C21:L22 and C26: L58-65); wherein the document/GUI (or a web page) comprises pull-down menus for the client to access available services/network elements according to his capability credential (*i.e., the access interface document comprises an interface for accessing only a portion of the service's capabilities*); as illustrated in Fig. 5, upon successful completion of the login, the process transitions to an "Authorization O.K." state 506, then the user is permitted to access pull-down menus to access not all but only the available services/network elements according to his capability credential. The user can make an access request by selecting/clicking on one of the available (authorized) services/network elements listed by the pull-down menus (*i.e., the client*

using the interface from said access interface document to access a capability from said portion of the first service's capabilities) (He, C26: L58-65).

(B) Prior Arts do not teach "generating a custom advertisement in response to receiving the advertisement request message, the custom advertisement is generated according to the portion of the service's capabilities that the capability credential indicates the client is allowed to access, and sending an advertisement request response message to the client, wherein the advertisement request response message includes the custom advertisement as the access interface document", as claimed in claims 2 and 4.

As to point (B), He teaches upon successful completion of the login (*i.e., the capability credential indicates the client is allowed to access*), the system generates a document/GUI (or web page) with pull-down menus interface (*i.e., the access interface document*) to identify the available services/network elements to which the user is allowed/authorized to access, wherein the services/network elements provide valuable network resources and information by providing a pull-down list/menus of available information/services to which the user is allowed/authorized to access such as available makes and models as mentioned by Pulliam and/or any other custom advertisements (*i.e., generating a custom advertisement in response to receiving the advertisement request message, the custom advertisement is generated according to the portion of the service's capabilities that the capability credential indicates the client is allowed to access, and sending an advertisement request response message to the client, wherein*

the advertisement request response message includes the custom advertisement as the access interface document). Then, the user can make an access request by selecting/clicking on one of the available services/network elements listed by the pull-down menus (**He**, C26: L58-65 and **Pulliam**, C13: L34-40).

(C) Prior Arts do not teach or suggest “a custom advertisement that specifies an XML schema defining messages to be sent by the client to the service and messages to be sent from the service to the client to use the portion of the service’s capabilities”, as claimed in claim 5.

As to point (C), **Pulliam** teaches a message client 924 in Fig. 10 is a multi-threaded HTTP process that provides the functions to received the XML formatted document, then generates and sends XML messages and application credentials to and from the locate server, i.e., generates and send XML messages to and from the services/network elements. Also, the search requests maybe submitted in the form of XML messages and the responses be received in an XML, wherein the returned values are then used to populate the pull-down lists/menus of available makes and models to which the user is allowed/authorized to access (*i.e., generating and sending custom advertisement XML messages according to the portion of the service's capabilities*) (**Pulliam**, C13: L22-42, C15: L39-43 and C16: L40-50).

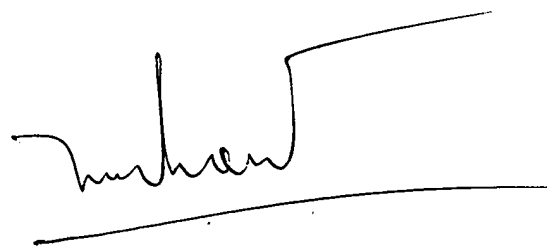
21. Applicant’s arguments as well as request for reconsideration filed on 10/15/2004 have been fully considered but they are not deemed to be persuasive.

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22. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Quang N. Nguyen whose telephone number is (703) 305-8190.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's SPE, Rupal Dharia, can be reached at (703) 305-4003. The fax phone number for the organization is (703) 872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



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PRIMARY EXAMINER